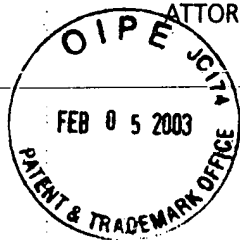




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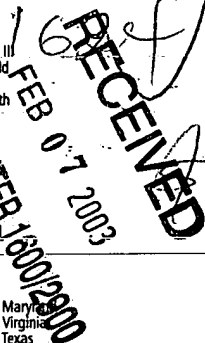
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February 5, 2003

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Commissioner for Patents  
Washington, D.C. 20231

Group Art Unit 1624

Re: U.S. Utility Patent Application  
Appl. No. 09/836,548; Filed: April 18, 2001  
For: **SUBSTITUTED 1,4-THIAZEPINE AND ANALOGS  
AS ACTIVATORS OF CASPASES AND INDUCERS  
OF APOPTOSIS AND THE USE THEREOF**

Inventors: Drewe *et al.*  
Our Ref: 1735.0450001/RWE/RAS

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fee Transmittal (PTO/SB/17);
2. Amendment and Reply Under 37 C.F.R. § 1.111;
3. First Supplemental Information Disclosure Statement;
4. One(1) page of Form PTO-1449 citing three (3) references;
5. A copy of the three (3) cited references;
6. Form PTO-2038 Credit Card Payment Form in the amount of \$180.00 to cover the fee for filing an Information Disclosure Statement; and
7. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

Commissioner for Patents  
February 5, 2003  
Page 2

In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert A. Schwartzman  
Attorney for Applicants  
Registration No. 50,211

RWE/RAS:law  
Enclosures

::ODMA\MHODMA\SKGF\_DC1;99871;1

**FEE TRANSMITTAL  
for FY 2003**

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$180.00)****Complete if Known**

|                      |                       |
|----------------------|-----------------------|
| Application Number   | 09/836,548            |
| Filing Date          | April 18, 2001        |
| First Named Inventor | John A. Drewe         |
| Examiner Name        | Coleman, B.           |
| Group Art Unit       | 1624                  |
| Attorney Docket No.  | 1735.0450001/RWE/RAS/ |

FEB 05 2003

**METHOD OF PAYMENT (check all that apply)**☐ Check ☒ Credit card ☐ Money Order ☒ Other ☐ None☐ Deposit Account

Deposit Account Number 19-0036

Deposit Account Name: Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

**The Commissioner is authorized to: (check all that apply)**☒ Charge fee(s) indicated below ☒ Credit any over payments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

\*\* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001     | 750      | 2001     | 375      | Utility filing fee     |          |
| 1002     | 330      | 2002     | 165      | Design filing fee      |          |
| 1003     | 520      | 2003     | 260      | Plant filing fee       |          |
| 1004     | 750      | 2004     | 375      | Reissue filing fee     |          |
| 1105     | 160      | 2005     | 80       | Provisional filing fee |          |

**SUBTOTAL (1) (\$)-0-****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                       | Extra | Fee from below | Fee Paid |
|-----------------------|-------|----------------|----------|
| Total Claims - 20** = | X     |                |          |
| Indep. Claims - 3** = | X     |                |          |
| Multiple Dependent    |       |                |          |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description   |
|----------|----------|----------|----------|---|
| 1202     | 18       | 2202     | 9        | Claims in excess of 20                                    |
| 1201     | 84       | 2201     | 42       | Independent claims in excess of 3                         |
| 1203     | 280      | 2203     | 140      | Multiple dependent claim, if not paid                     |
| 1204     | 84       | 2204     | 42       | **Reissue independent claims over original patent         |
| 1205     | 18       | 2205     | 9        | **Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2) (\$)-0-**

\*\*or number previously paid, if greater; For Reissue, see above

**3. ADDITIONAL FEES**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1502     | 50       | 2052     | 25       | Surcharge-late provisional filing fee or cover sheet                       |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 410      | 2252     | 205      | Extension for reply within second month                                    |          |
| 1253     | 930      | 2253     | 465      | Extension for reply within third month                                     |          |
| 1254     | 1,450    | 2254     | 725      | Extension for reply within fourth month                                    |          |
| 1255     | 1,970    | 2255     | 985      | Extension for reply within fifth month                                     |          |
| 1401     | 320      | 2401     | 160      | Notice of Appeal   |          |
| 1402     | 320      | 2402     | 160      | Filing a brief in support of an appeal                                     |          |
| 1403     | 280      | 2403     | 140      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453     | 1,300    | 2453     | 650      | Petition to revive - unintentional   |          |
| 1501     | 1,300    | 2501     | 650      | Utility issue fee (or reissue)   |          |
| 1502     | 470      | 2502     | 235      | Design issue fee   |          |
| 1503     | 630      | 2503     | 315      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  | 180.00   |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809     | 750      | 2809     | 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810     | 750      | 2810     | 375      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801     | 750      | 2801     | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$180.00)****SUBMITTED BY**

Complete (if applicable)

|                   |                              |                                   |                  |           |              |
|-------------------|------------------------------|-----------------------------------|------------------|-----------|--------------|
| Name (Print/Type) | Robert A. Schwartzman        | Registration No. (Attorney/Agent) | 50,211           | Telephone | 202-371-2600 |
| Signature         | <i>Robert A. Schwartzman</i> | Date                              | February 5, 2003 |           |              |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.